KENTUCKY CONSOLIDATED PLANNING PROCESS SY2001-2002

The Road to Proficiency
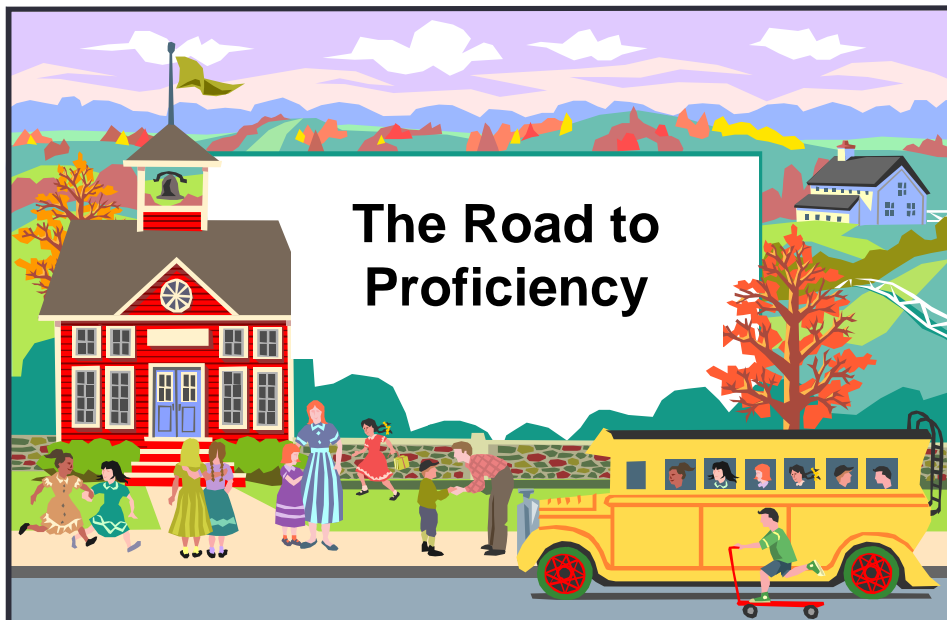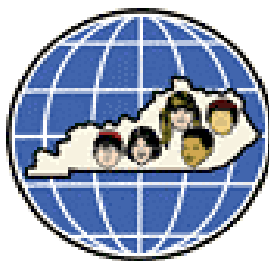
Third Edition

Gene Wilhoit, Commissioner of Education

CONSOLIDATED PLANNING GUIDEBOOK for 2001-2002

The result of a collaborative effort among
Kentucky Department of Education personnel,
local educators, business partners, parents,
and others dedicated to improving education
for Kentucky students.

To download additional copies of the Guidebook, go to:

http://www.kde.state.ky.us/olsi/conp/default.asp

CATEGORICAL PROGRAMS
Included In The Consolidated Planning Process For Funding Purposes

FEDERAL GRANT PROGRAMS

Class Size Reduction

High Schools That Work **
Funded through Carl D. Perkins Act

IASA, Title I: Part A*
Improving Basic Programs Operated by LEA

IASA, Title I: Part B**
Even Start Continuation

IASA Title I: Part C
Migrant Education

IASA, Title II
Dwight D. Eisenhower Professional Development

IASA, Title IV
Safe and Drug Free Schools and Communities

IASA, Title VI
Innovative Educational Strategies

Individuals with Disabilities Education Act
(IDEA) Basic

Individuals with Disabilities Education Act
(IDEA) Preschool

Title I: Part C Carl D. Perkins Vocational and Technical Education
Basic Grant

Stewart B. McKinney Homeless Assistance Act**
Title VII: Subtitle B Continuation

STATE GRANT PROGRAMS

- Extended School Services
- Gifted and Talented Education
- Kentucky Education Technology System
- Professional Development
- State Preschool Program
- Textbooks

*Improving America's Schools Act (IASA)
**Initial Award Made Through Separate Competitive Application

All programs within a school and district, even though they are not currently funded through this process (e.g. primary program, school improvement, student and family services), should be included in this comprehensive strategic planning method and not considered in isolation from the consolidated planning process.

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CONSOLIDATED PLANNING OVERVIEW

States, districts, and schools should adopt continuous improvement strategies to measure progress.
---CEO Forum on Education and Technology

As educators and education advocates, we know that we have moved beyond reform to a solid, nationally respected system of public education. We know where we are going. The job now is to get there.
---Gene Wilhoit, Commissioner of Education, Kentucky

In Kentucky, all schools are aiming for the same ultimate goal: proficiency, or an overall accountability score of at least 100 on a 140-point scale, by the year 2014, as measured by the Commonwealth Accountability Testing System (CATS). Educational research tells us that if this goal is to be met, schools and districts must engage in strong, steady and continuous planning that addresses both improving areas of weakness and sustaining areas of strength.

In August 1997, the Kentucky Department of Education introduced the consolidated planning process, a joint effort between the Department and local school and district stakeholders that provides a single tool for both planning and applying for categorical funds. The consolidated planning process was designed to enhance student achievement and focus school and district resources on students in a different way, changing the culture of schools and districts from a "special programs" orientation to a "student needs" orientation.

Today, consolidated planning is implemented throughout Kentucky as a means of determining what schools and districts will do to move students toward proficiency and beyond by 2014. It aids schools and districts in their efforts by bringing together all stakeholders to plan for improvement, by focusing that planning on priority needs, and by making connections between the funds that come into the district and the potential of those funds to address priority needs.

The Kentucky Department of Education has compiled a list of characteristics common to successful schools, based on data from schools throughout the state. Among those characteristics are the following:

- Student success is at the center of all efforts
- Scores from state tests and other assessments are used to identify learning needs
- Each school's staff breaks down test data by gender, race and economic level to identify achievement gaps
- The schools have plans with specific strategies for improving student performance
- The schools target their discretionary funds to meet data-identified needs
- Continuing analysis of test scores and day-to-day student work drives school improvement planning

The consolidated planning process focuses on student success and provides schools and districts with a tool for data collection and analysis, planning and resource allocation. It supports continuous growth and improvement as schools and districts address the most important task facing society: educating children.

WHAT IS CONSOLIDATED PLANNING?

Consolidated planning is the vehicle that enables the achievement of our vision for the future of Kentucky's children.
---Susie Watkins, South Heights Elementary, Henderson County

The consolidated planning process distributes the leadership and responsibility for student learning among administrators, teachers, parents and the community so that wise decisions can be made.
---Marsha Maupin, Silver Creek Elementary, Madison County

Consolidated planning is a means of determining what a school and district should do to improve student achievement and to ensure that each student makes progress toward meeting the student capacities and school goals set forth in KRS 158.645 and KRS 158.6451(1). It is also the mechanism by which districts apply for funds under the major federal and state grant programs administered by the Kentucky Department of Education.

Consolidated planning begins at the school level with an analysis of disaggregated student performance data and other data on the effectiveness of instructional practices and organizational conditions. Both strengths and limitations are identified. A plan is then drafted that identifies the causes of the limitations and includes goals, objectives, strategies and activities designed to eliminate those causes. It also shows how strengths will be maintained and extended. The plan goes further by projecting resources that may be used to support the activities and strategies.

The school level draft plan goes to the district, which looks at activities common among several schools to determine how district-wide initiatives can be established as part of the district plan. Thus the needs of the schools become a large part of the needs assessment for the district plan. The district replies to the school plan by identifying resources that can support the school's activities, or by offering to include the school in a district-wide activity. This multi-directional interchange between school and district will occur several times in the development of the respective plans. The final district plan serves as a blueprint for supporting the schools in their plans, and as the application for various state and federal categorical funds.

This guidebook contains full descriptions and instructions in sequential order for completing a consolidated plan and application. By working through the guidebook, a school or district will be able to complete or update its plan and seek final approval by the school council or board. To ensure quality planning, schools and districts should also use Efficiency Standard 9 (Comprehensive and Effective Planning) of the *Performance Descriptors for Kentucky's Standards and Indicators for School Improvement* (www.kde.ky.us/olsi/improve/schaudit/schaudit.asp) to guide their planning process.

Is Planning Required?

School councils are required by KRS 160.345(2)(j) to annually review the school's performance in the state school accountability system, review this data disaggregated for specific groups of students, and use this information in adopting a school plan, which is designed to ensure that each student makes progress toward meeting the state learning goals. Consolidated planning is a process that can meet this requirement.

State law also requires a plan from every school failing to meet the standards of success outlined in KRS 158.6455. Consolidated planning can meet this requirement.

Schools and districts that fail to meet accountability standards are also required by federal Title I law (IASA) to have a Title I improvement plan. Schools that fail to meet accountability standards are required to make the necessary revisions in their school plans in ways that have the greatest likelihood of improving the performance of participating children in meeting Kentucky's student performance standards. Districts whose Title I schools fail to meet accountability standards must revise their plan in ways that have the greatest likelihood of improving the performance of these schools. Consolidated planning can meet these requirements.

HOW ARE CATEGORICAL PROGRAM REQUIREMENTS MET?

School districts document that they meet program compliance requirements set by state and federal laws by:

- Electronically submitting to the Kentucky Department of Education the district *Consolidated Plan and Funding Application*
- Assuring that requirements for all covered grant programs are met
- Submitting a budget for new grant year categorical funds
- Submitting required program reports throughout the year (pages 55-59 of this guidebook list all program reports with due dates for programs included in the consolidated plan)
- Maintaining documentation that demonstrates that programs are operated according to state or federal program regulations

HOW IS EQUITY ADDRESSED IN THE PLANNING PROCESS?

When planning to improve student achievement at the school or district, attention must be given to assuring equity for all students, staff, and any others served by the school district. Assurance of equity has received not only verbal support by Congress but has also been incorporated by law into requirements for federal funding. An amendment to the General Education Provisions Act (GEPA) requires that a school district include, as a part of its application for federal funds, a description of the steps it will take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with federal funds. These steps must address the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability, and age. Likewise, Kentucky's Constitution requires an efficient system of common schools, and court rulings and state legislation specify that such a system must produce equitable results for each and every child.

In the consolidated planning process, this requirement can be met by including equity as one of the goals in the action plan or by integrating the steps to ensure equity throughout the action plan strategies and activities.

WHAT KIND OF ASSISTANCE IS AVAILABLE FOR CONSOLIDATED PLANNING?

Technical assistance is a valuable way to gather additional ideas during the planning process and to help determine if the final plan is complete, of high quality, and compliant with legal requirements. Technical assistance can be provided from:

- School administrators to schools
- School practitioners to district staff
- Kentucky Department of Education, Regional Service Centers, educational cooperatives, and others to all levels of personnel in the school district

The guidebook and other information about planning can be found on the Consolidated Planning website: www.kde.state.ky.us/olsi/conp/default.asp. In addition, training and materials on completing the consolidated planning process are available from the Kentucky Association of School Councils (KASC). More information about these materials and training is available from KASC by email at kasc@kasc.net or on the web at www.kasc.net

Training and assistance on specific aspects of consolidated planning can be secured from the Department's categorical program contacts, staff in the Division of School Finance and Budgets, Regional Service Centers, fellow educators within the school district, and other resource persons identified by school and district staff.

HOW DO SCHOOLS AND DISTRICTS ORGANIZE TO PLAN?

School board policy on the form and function of planning and school council policy on consolidated planning should clearly define how school and district staff and other stakeholders are organized to carry out important planning steps, including:

- Reviewing and refining a mission statement for the school or district
- Conducting a needs assessment and analyzing the results
- Identifying priority needs, deciding on goals, and completing the action components of the plan
- Determining costs of activities, researching available resources, and developing a budget
- Establishing a system for review of the plan

Many stakeholders must be involved in the planning process in order to accomplish all of these steps successfully. Schools and districts should also seek out and encourage active minority participation on the planning committees.

Planning At The School Level

The school council is charged with both oversight and hands-on development of a school plan. Subcommittees are appointed to work on various elements of the process. Program coordinators and supervisors from the district office participate in school research regarding legal requirements of programs and lend assistance in identifying resources. An appropriate school planning committee includes the following stakeholders:

- School council members
- School staff members, including student support personnel
- Parents
- Community members
- Students (at the middle or high school level)
- Representatives of Family Resource and Youth Services Centers
- District program coordinators and instructional supervisors

Planning At The District Level

KRS 160.345(3)(c) requires each local board to adopt a policy that addresses "school improvement plans, including the form and function of strategic planning and its relationship to district planning." This local board policy supports the district's planning process.

The superintendent develops, and presents to the school board for review, procedures for appointment and training of the district planning committee. A planning committee, representative of the school district and the community, is then appointed by the superintendent and approved by the board to develop the district plan.

In developing the district plan, members of the planning committee need to work together frequently to assure that a coordinated and comprehensive plan meets the needs of all the schools in the district. In districts with few district administrators, it is critical that others assist these administrators to develop the district plan. An appropriate district planning committee includes:

- School council members
- School staff members, including student support personnel
- Parents
- Community members
- Students (at the middle or high school level)
- Representatives of Family Resource and Youth Services Centers
- District program coordinators and instructional supervisors

OBTAINING INPUT ON THE PLAN

Input on the consolidated plan should be obtained before submitting the plan to the school council (school plan) or school board (district plan) for final approval. Persons providing input can use Standard 9 from the *Performance Descriptors for Kentucky's Standards and Indicators for School Improvement* to guide their efforts. Persons who may provide input on the school plan include:

- District-level program coordinators (required)
- School council members (required)
- School and central office staff from other districts
- Other relevant education partners, such as:
  - outside readers (e.g., Family Resource/Youth Services Center staff, educational cooperative members, and consortia members)
  - faculty
  - parent
  - representatives of post-secondary education
  - community members including business representatives
  - outside resource consultants
  - student council and/or other student organization members
  - students

Persons who may provide input on the district plan include:
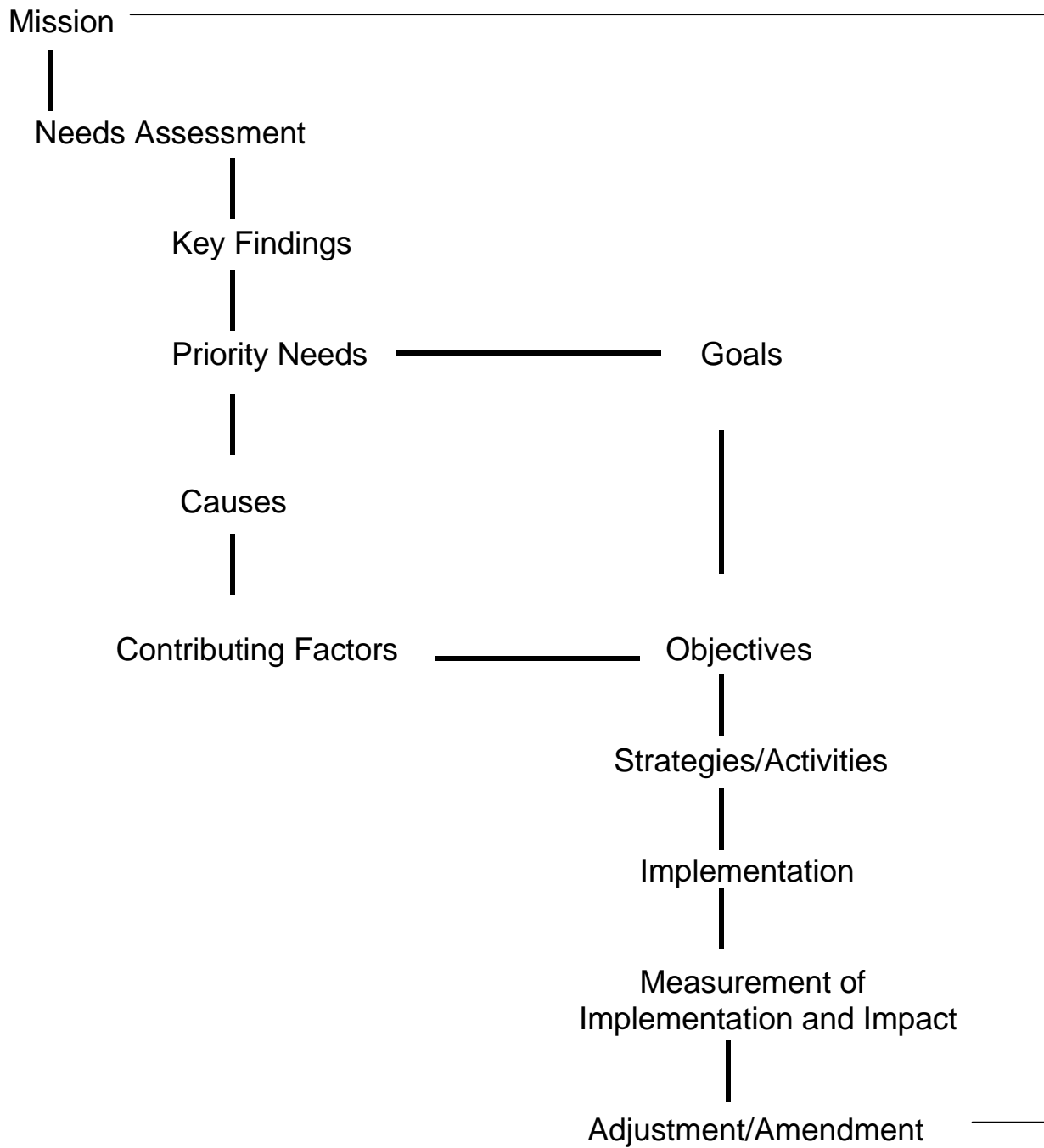
- Superintendent

- Instructional supervisors
- School council members
- School and central office staff from other districts
- School board members
- Other relevant education partners, such as:
  - outside readers (e.g., Family Resource/Youth Services Center staff, educational cooperative members, and consortia members)
  - faculty
  - parent
  - representatives of post-secondary education
  - community members including business representatives
  - outside resource consultants
  - student council and/or other student organization members
  - students

Note: Kentucky State Board regulation 702 KAR 3:246, Section 9 requires that "Each year school councils shall review the budgets for all categorical programs and provide comments to local board prior to the adoption of the budgets."

In addition, the district must give notice to the public that the *Consolidated Plan and Funding Application* is available for public review and comment. The plan must be made available for public review and comment for two weeks and the district must consider any changes needed based on these comments. After the review process is complete, the district submits the consolidated plan to the school board for approval, and the superintendent and board chair electronically sign the approved application. Program representatives at the Kentucky Department of Education then review the *Consolidated Plan and Funding Application*.

SUBMISSION OF THE CONSOLIDATED PLAN AND FUNDING APPLICATION

The district electronically submits an updated *Consolidated Plan and Funding Application* annually by June 30, assuring that the plan has been reviewed for implementation and impact (see General Assurance #1 on page 39). Any errors in eligibility for award, total award amount, allowable expenditures, and calculations are corrected prior to the release of funds.

SCHEMATIC OF CONSOLIDATED PLANNING PROCESS

Mission

Needs Assessment

Key Findings

Priority Needs ——————— Goals

Causes

Contributing Factors ——————— Objectives

Strategies/Activities

Implementation

Measurement of
Implementation and Impact

Adjustment/Amendment

MISSION STATEMENT

The mission statement uses clear, concise language to describe the purpose and function of the school or district. It is not merely a description of the status quo, but a bold declaration of what the educational organization will produce. The mission drives the entire plan.

The consolidated plan should be aligned with the mission statement, and there must be a keen awareness of the mission by the school board and all members of the staff and stakeholders. Instead of assuming that everyone shares a common understanding of where the school or district is going and why, the mission should be shared with all stakeholders before the planning committee begins any development of the planning goals, objectives and strategies. The mission statement should be revisited frequently and if needed, revised by the school council or school board.

In reviewing the mission statement, remember that a good mission statement is relatively brief, easily remembered by stakeholders. It clearly sets forth the core values and beliefs of the educational organization. It communicates what is important to the organization and provides direction for all staff within the school or district. It informs the community of the commitment of the school or district to improving teaching and learning for all students. One example of a good mission statement is that of the Kentucky Board of Education:

> *"The mission of the Kentucky Board of Education is to focus the efforts of the Kentucky Department of Education, local schools, districts and partners in public education to assist all schools to meet proficiency by 2014 and to assure that each child is given the maximum opportunity to achieve at high levels."*

The worksheet on the following page can be used to assist in reviewing school or district mission statements.

[Information for this chapter was adapted from "Strategic Planning for America's Schools" by William J. Cook, Jr., American Association of School Administrators, 1990.]

CRITICAL ATTRIBUTES OF A MISSION STATEMENT WORKSHEET

Answer each question below by listing critical attributes that you think should be included in the mission statement for your district or school.

1. Who will deliver services? (Example: "staff of Fisher School")

2. Who will benefit? (Example: "ALL students")

3. What is the nature of the services? (Example: "purpose is to educate")

4. What constitutes observable evidence? (Examples: "high levels of academic performance"; "positive growth in social/emotional behaviors and attitudes")

5. What is the level of accountability? (Example: "we accept the responsibility to teach all students")

NEEDS ASSESSMENT

All planning models recommend needs assessment as the initial phase of planning to provide the foundation for the development of an action or work plan and budget. This is also true in Kentucky's consolidated planning process, where the needs assessment is part of a continuous improvement model. The annual needs assessment always includes a review of the current plan's effectiveness, as well as a review of any new or updated data since the last needs assessment. The needs assessment process also supports a regular refocusing or recommitment from the school or district to their vision for students.

Needs assessment is an ongoing process that peaks each fall when schools and districts review new or updated information, including the annual CATS results and recommendations from the *Standards and Indicators for School Improvement.* To meet school and district budgeting deadlines, school level needs assessment and determination of major areas of focus are completed by December of each year. District level needs assessment and determinations of major areas of focus are completed by January.

Needs assessment and development of the action plan are part of one planning process. No later than March 1, basic annual planning activities are completed for both the school and district so that budgets can be finalized for staffing and allocation decisions can be approved for the next school year. Consolidated planning timelines and activities parallel requirements regarding the setting of school and district priorities, school council and other budget allocations and planning processes.

Kentucky consolidated planning efforts focus directly on the needs of students. State requirements related to consolidated planning are in Kentucky statute:

- School councils are required by law to annually review the school's performance on the state school accountability system, review this data disaggregated for specific groups of students, and use this information to adopt a school plan (i.e., the consolidated plan) which is designed to ensure that each student makes progress toward meeting the state learning goals. KRS 160.345 (2) (j).
- The Kentucky school accountability system includes public reporting with school and district level "report cards" that include data disaggregated for specific groups of students. KRS 158.6453 (7).
- Schools that are not making sufficient progress on results for students are required to engage in school improvement planning after receiving a scholastic audit or review using the *Kentucky Standards and Indicators for School Improvement.* 703 KAR 5:120; KRS 158.6455 (4) (a) (2).

NEEDS ASSESSMENT TOOLS

In the needs assessment for the consolidated plan, local school and district committees should use information from the:

- Standards and Indicators for School Improvement
- Supporting data or evidence referenced in the *Performance Descriptors for the Standards and Indicators for School Improvement* (e.g., other achievement data, ACT scores, student work, etc.)

- Commonwealth Accountability Testing System (CATS)
- School or District Report Cards
- Other relevant sources of information

Performance Descriptors And Glossary For Kentucky's Standards And Indicators For School Improvement

The *Standards and Indicators for School Improvement* serves as the framework for the needs assessment for the consolidated plan. Information about the *Standards and Indicators* is available from the Kentucky Department of Education Scholastic Audit web page: http://www.kde.state.ky.us/olsi/improve/schaudit/schaudit.asp.

The nine standards for school improvement are organized into the three broad areas defined in the law on scholastic audits (KRS 158.6455): academic performance, learning environments, and efficiency. Each standard has specific indicators, making a total of eighty-eight indicators. Fifty-eight of those indicators reflect a shared responsibility with the district. The *Standards and Indicators* are integrally related as a holistic view, not isolated activities. Randomly picking and choosing indicators for review may result in an inaccurate picture or in failing to meet grant needs assessment requirements. Comprehensive planning is addressed particularly in Standard 9, but indicators throughout all nine standards also address multiple uses of data.

There are several options schools may use to conduct the needs assessment for consolidated planning. First, the school may conduct a self-study using the school level *Performance Descriptors and Glossary for Kentucky's Standards and Indicators for School Improvement.* The tool relies on multiple data sources, which are identified for each indicator. Needs assessment committees are encouraged to add any other sources of information they deem relevant.

The school level *Descriptors* tool reflects that schools:

- Are the original sources of most data since they directly serve students
- Are responsible for targeting and providing instruction
- Are responsible for identifying the priority needs at the school level

If a school has already experienced a scholastic audit or review, then the school has already prepared a School Profile and has a report from the audit or review that can be used as the framework for the needs assessment. (As part of the audit/review process, schools are provided recommendations on next steps, which often include further study and work in areas of particular need.)

Districts may use the *District Level Performance Descriptors and Glossary for Kentucky's Standards and Indicators for School Improvement* for their self-study. This tool is available for download from the scholastic audit website at http://www.kde.state.ky.us/olsi/improve/schaudit/schaudit.asp. Since it is an expanded set of descriptions for the fifty-eight indicators that are already included in the school level tool, additional training beyond the *Standards and Indicators* training is not required at this time.

The district level *Descriptors* tool reflects that the district:

- Supports schools in collecting relevant data
- Compiles information and summarizes findings from all the schools for district level planning
- Coordinates and provides leadership and resources across schools
- Reviews and supports the needs identified by the schools
- Identifies the priority needs at the district level

The district level needs assessment process integrates key findings and priority needs identified across the schools as well as from district-wide needs. The district focuses its efforts on identifying:

- Common needs across schools
- Needs which affect district-level planning (e.g., changing demographics, assignment of students to buildings, contracting)
- Needs that are present but which by their nature may not be identified by individual schools (e.g., equity across schools)
- Needs identified to meet equity and assurance requirements
- Needs for leadership to support school and district goals

Training on use of the *Descriptors* tool is available from trained state and local staff. For training information, contact the Division of School Improvement at http://www.kde.state.ky.us/olsi/improve/schaudit/schaudit.asp or the regional service center at http://www.kde.state.ky.us/oapd/rsc/default.asp.

Schools and districts may use other tools in conducting their needs assessment. However, these tools must align with the *Kentucky Standards and Indicators for School Improvement.* (See General Assurance #9.) In addition, if a school or district finds that more extensive information is needed about a particular topic, there are several tools available to assist, such as:

- Technology Impact Review Tool http://www.kde.state.ky.us/net/customer/evaluation.asp
- Equity Instrument http://www.kde.state.ky.us/ohre/equity/default.asp

KASC Consolidated Planning Tools

A second option schools may use is the *KASC Consolidated Planning Kit (2001)*, a series of school study booklets that aligned with all standards in the *Standards and Indicators for School Improvement,* except those indicators involving staff evaluation which is beyond the scope of school council authority. Information on purchase of materials and training is available from the *Kentucky Association of School Councils* by email at kasc@kasc.net or web at http://www.kasc.net.

Commonwealth Accountability Testing System (CATS) Data

A critical and ongoing step in the needs assessment is to have a clear picture of how the school is performing in relation to public expectations for student learning, attendance, and success (persistence to graduation/drop-out, progress in school/retention, and transition to adult life). School councils are required to review this data and use it in developing the school's plan.

With the implementation of the long-term accountability system in Fall 2001, there are individual school reports of these measures produced by the Kentucky Department of Education:

- Long-Term Accountability Growth Chart
- Kentucky Performance Report
- Kentucky Core Content Report
- Kentucky Evaluator's Edition of Test Data
- Student Lists and Student Item Level Report (contains individual student information)

These reports, which include data from the Kentucky Core Content Test (KCCT), norm-referenced data from the Comprehensive Test of Basic Skills (CTBS) and non-academic data, are made available to the individual schools with specific information and assistance in interpretation through the Office of Assessment and Accountability and the network of district assessment coordinators. Detailed information is available from http://www.kde.state.ky.us/comm/commrel/cats/.

At a minimum, questions about school and district performance data should include the following:

1. How does the Accountability Index for this year:
   a. Compare to 1999 and 2000?
   b. Compare to the goals for this cycle in academic and non-academic areas?
   c. Compare to district and state averages? What are the implications?

2. Look at the Long Term Accountability Chart from the school or district Kentucky Performance Report. For odd-numbered years, how much improvement is needed in the Accountability Index in the coming year to reach the two-year goal? For even-numbered years, how much improvement is needed in the next two years to meet the next two-year goal?

3. How does the overall Academic Index and score for each content area:
   a. Compare to 1999 and 2000?
   b. Compare to the school's own content area targets for this cycle?
   c. Compare to district and state average? What are the implications?

4. Look at the Novice Reduction Goal from the Kentucky Performance Report. How much reduction in novice performance is needed to reach the next combined goal?

5. If improvement occurs at the same rate as last year, how many years would it take to reach the state goal of 100 out of a possible index of 140:
   a. On the Accountability Index?
   b. In the non-academic and content area targets?

6. For this year's data, in each content area:
   a. Were there changes in the percent of students at each performance level (Novice, Apprentice, Proficient, Distinguished/NAPD) compared to 1999-2000? To the past year?
   b. Were there changes in the performance of special populations (e.g., ethnic and gender groups, special needs students, Limited English Proficiency, free and reduced lunch status)? What must the school do to increase the number of proficient and distinguished students in these populations?
   c. Have achievement gaps changed since last year?

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7. How do other data relative to school or district goals (e.g., ACT scores, classroom grades, criterion-referenced assessments of reading skills, etc.) extend the analysis of the state assessment data to identify root causes for current student performance?

Other Tools And Technical Assistance For Needs Assessment

A critical feature of the review of the state assessment data is for teachers and other staff to have a clear understanding of what school level accountability scores mean in relation to student performance in the content areas. What does "proficient" level work look like in each content area at the assessed grades? How does this understanding lead to improved instruction and strategies for measuring student's continuous progress in reaching a proficient level of work? For more information about specific training on Kentucky standards for proficient student work you may contact a regional service center through the Department's web at http://www.kde.state.ky.us/oapd/rsc/default.asp

In addition, the Kentucky Association of School Councils (KASC) will continue to develop and update the *KASC Assessment Study Sheets*. These study sheets are useful for most of the required data analysis. Starting in 2001, CTBS results will count as 5% of each school's overall Accountability Index. CTBS results are an integral part of the school's review of data. These results are included in the school's Kentucky Performance Report and in the KASC Assessment Graphs mentioned in the student sheets. KASC's updated materials include updated formulas and specific instructions on how CTBS data is included.

NEEDS ASSESSMENT PROCESS

School Needs Assessment Committee Membership

The *Standards and Indicators* reflect the importance of collaboratively involving all stakeholders in the planning process. To meet state and federal grant requirements, the school needs assessment committee must include at least the following:

- Teachers (instructional staff members including a technology representative)
- School administrators
- Parents/family members
- Community members
- Employers
- Pupil support personnel
- Students (secondary level; not required for elementary)

Schools are encouraged to include general and special teachers, as well as staff from feeder schools and programs, including technical schools, in order to have wide input and a more integrated plan. Other recommended committee members include a school council representative and the Family Resources and Youth Services Centers coordinator, if not included above, as well as someone from the district-level committee to serve as a liaison with the school committee to provide assistance and facilitate ongoing communication. An additional support is for input and linkages with district level coordinators for all of the programs applicable to a particular school.

The group must include reasonable representation of the ethnic diversity of the school's student body. Persons from any of the role groups may provide that representation, but KRS 156.500 makes reasonable minority representations required for all groups that advise or decide on educational issues.

School Needs Assessment Committee Process

The school may choose to assign small groups to collect and analyze specific standards or areas (e.g., curriculum) or to review particular sources of student and school data. For example, a small, well-represented group may focus on the Kentucky Core Content Test analysis, whereas another group or groups may focus on effective uses and deployment of technology resources. If the school committee has divided into work groups, each group completes their assignment looking for root causes and then summarizes key findings and identifies priority needs from their perspective. Then representatives from each of the groups come together to present their findings to the full school needs assessment committee and school council, allowing others to provide feedback. The results are then integrated for the school as a whole. However tasks are assigned, it is important that all groups understand that school councils, not individuals, make the final decisions (priorities, goals, etc.) about school plans.

District Needs Assessment Committee Membership

The district level needs assessment committee is comprised of members similar to those of the school committee. To meet state and federal grant requirements, district needs assessment committees must include broad, diverse stakeholder representation:

- Teachers (instructional staff members including a technology representative)
- School administrators
- Parents/family members
- Community members
- Employers
- Pupil support personnel
- Students (secondary level; not required for elementary)

Other suggested district-level members include a representative of the local school board and school planning committee liaisons. It is critical that district level coordinators from all federal and state programs covered in the plan be included on the needs assessment and planning committees to assure that program requirements are met as the priorities are established and the consolidated plan is developed.

District Needs Assessment Committee Process

The district committee follows a process similar to that of the schools. The key difference is that the district committee integrates the schools' needs assessments into findings and priorities for the district level and uses the *District Level Performance Descriptors and Glossary for Kentucky's Standards and Indicators for School Improvement*, focusing particularly on the fifty-eight indicators relating to the district's role in supporting teaching, learning and school improvement.

An important additional feature of the district level committee is its responsibility to coordinate ongoing communication between school needs assessment committees and the central

office, and between and among the schools. District members should be assigned to and available for technical assistance to school committees throughout the needs assessment process. Information about school needs should be informally flowing between school and central office throughout the process. While most district needs cannot be finalized until the school needs have been identified, the district is in close communication with the school committees to help schools collect relevant data, to compile data across schools, and to look at emerging root causes, findings and priorities.

NEEDS ASSESSMENT SUBMISSION REQUIREMENTS

In the executive summary section of the *Consolidated Plan and Funding Application*, each school and district provides a summary of their needs assessment process to identify significant contributing factors or causes. The priority needs and significant factors identified through the needs assessment process are included in the action plan as "Priority Needs" and "Causes/ Contributing Factors."

To meet grant requirements, the executive summary portion of the *Consolidated Plan and Funding Application* for the school or district must include:

- A list of who was involved in the school or district needs assessment process (names, titles/roles)
- A brief description of the school or district process used

By completing the needs assessment and signing the assurance that this process has been followed at the school and district levels, the grant requirements related to needs assessment are met for all state and federal programs covered in the consolidated plan.

The needs assessment data and analysis are intended to be kept at the local level by the school and district, other than the priority needs and significant factors noted in the action plan. No separate written report or analysis of the needs assessment data is required to be submitted. However, the school and district must keep local documentation regarding the needs assessment data, both to verify that grant requirements have been met and to support their ongoing planning. This documentation includes a copy of relevant data used and should be kept on file (e.g., self-assessment on the *Standards and Indicators for School Improvement* or a scholastic audit report, CATS reports, data used in the School or District Report Card, reports, surveys, other evidence).

The school keeps and uses the school level data at the school building and makes it available to the district as needed to support the school's action plan. The district keeps the district-level information on file at the central office to support the consolidated plan for the district and to document the district's assurance that the schools and district have met grant requirements.

Optional Consolidated Plan Content

While the *Consolidated Plan and Funding Application* does not need to include an analysis from the needs assessment, a summary or outline of such information is helpful locally for communication with staff, parents and outside groups. This optional consolidated plan content may include answers to questions frequently asked concerning:

- Student enrollment

- Demographics about the student population (socio-economic status, etc.)
- Administrative or organizational structure(s)
- Data that the local planning committee believes to be most relevant to the priority needs

STANDARDS AND INDICATORS FOR QUALITY NEEDS ASSESSMENT

A quality needs assessment process is described in Standard 9 of the *Standards and Indicators for School Improvement* (Comprehensive and Effective Planning):

9.1.a   There is evidence that a collaborative process was used to develop this vision, belief statements, mission and goals that engaged the school community as a community of learners;

9.2.a   There is evidence the school/district planning process involves collecting, managing and analyzing data;

9.2.b   The school/district uses data for school improvement planning;

9.3.b   The school/district analyzes their students' unique learning needs; and

9.4.a   Perceived strengths and limitations of the school/district instructional and organizational effectiveness are identified using the collected data.

Bringing all programs together in a coordinated analysis of the instructional program and using a quality process for identifying priority needs will provide the information needed to focus an array of resources on specific instructional goals.

ACTION PLAN

An action plan is developed to meet goals and objectives set by the school or district. Schools and districts use their action plans to carry out and manage activities designed to meet priorities identified through the needs assessment process.

The school action plan focuses on needs specific to the school and educational performance of its students. It is a tool used to manage implementation of activities and to help measure the impact of these activities on classroom practice and student performance. The district action plan reflects the common goals and objectives of the school action plans by including goals and objectives that support the schools. It also includes goals and objectives for needs that are best addressed at the district level. It provides budget information necessary to secure state and federal program funding from the Kentucky Department of Education.

ACTION COMPONENTS

An action component is the part of an action plan designed to meet a *single goal* of the school or district. An action plan can include one or more action components. Component managers coordinate the activities in each action component and ensure that activities and strategies are implemented and impact on student performance and classroom practice is assessed. Each action component of a school's action plan addresses a priority need (and its corresponding goal) identified through the school's needs assessment. The district uses the school components; as well as specific district needs to develop the district action plan. Districts may develop goals that encompass two or more related school goals that require support from the district level.

NOTE: Schools and districts are no longer <u>required</u> to have an action component related to equity in their plan. Instead, the steps taken by the school or district to ensure equity may either be integrated into the plan, or an action component may be developed that specifically addresses equity requirements. (See page 7: How is Equity Addressed?)

SCHOOL AND DISTRICT ACTION PLAN STEPS

After completing the needs assessment, schools and districts develop an action plan. The steps in developing the plan are:

Step 1 $\Rightarrow$ Identify priority needs
Step 2 $\Rightarrow$ Set goals that address priority needs
Step 3 $\Rightarrow$ Develop objectives to reach goals based on causes, contributing factors, and future needs
Step 4 $\Rightarrow$ Design research-based strategies and activities to achieve the objectives
Step 5 $\Rightarrow$ Specify the expected impact in terms of indicators of student performance and classroom practice
Step 6 $\Rightarrow$ Identify resources needed to support the strategies and activities
Step 7 $\Rightarrow$ Build a budget that effectively integrates multiple resources to support activities
Step 8 $\Rightarrow$ Follow-up by checking implementation of strategies and activities and measuring their impact on student performance and classroom practice.

Step 1. Identify Priority Needs

Each priority need is identified through the needs assessment process. The priority need statement reflects the discrepancy between where the district or school is and where it wants to be. To identify priority needs:

- Identify key findings from the needs assessment. Include both strengths (findings of things working well) and concerns (things not working). Some key findings may be related to others as causes or contributing factors (e.g., a finding that the curriculum has not been aligned to national standards or academic expectations could be a cause/contributing factor of another finding of low achievement in one or more areas.)
- Decide how to organize or categorize the findings. Keep the categories broad and to a minimum. The categories serve as a basis for determining priority needs. Some findings may fit more than one category. To categorize findings, use judgment based on knowledge of the school, community, and environment.
- Determine priority needs. List only those priority needs that can leverage the greatest change on student performance and classroom practice. Write a priority need statement for each need included in the action plan.

Step 2. Set Goals That Address Priority Needs

For each priority need, identify one or more goals for improving performance in that area. The goal is written in measurable terms. It states the level of performance expected by a given time with respect to student performance or classroom practice. *Goals are labeled with uppercase letters beginning with Goal A in the first action component. See pages 26-27 for examples of labeling format.*

Step 3. Develop Objectives To Reach Goals

After a goal is developed to address each priority need, the planning committee:

- Identifies the causes or factors contributing to the need by examining critical cause and effect relationships, such as identifying barriers to student learning. The planning committee should include both positive and negative factors (strengths and weaknesses).
- Develops measurable objectives that directly address these causes and/or contributing factors. Objectives may be short-range or long-range, and may address more than one cause. Some may maintain or enhance existing strengths. Include all measurable objectives needed to reach goals even if sufficient funds and other resources are not currently available. *Objectives are labeled with uppercase letters and numbers beginning in the first action component with Objective A1. See pages 26-27 for examples of labeling format.*

Step 4. Design Strategies And Activities To Achieve Objectives

After determining measurable objectives, the planning committee researches and reviews promising research-based practices most likely to achieve one or more objectives.   These strategies and activities are:

- **Sequential** over a planned period
- **Systemic** to encompass all appropriate means and resources (e.g., professional development, technology, restructuring) that will work together over time to improve student performance and classroom practice

Precede each sequence of activities with the label(s) for the corresponding objective(s) (e.g., the label 'Objective A1' is placed in the 'Objectives' label column and the sequence of activities

designed to achieve that objective follow in the next column to the right). A given activity or sequence of activities may address more than one objective.

Step 5. Specify The Expected Impact In Terms Of Progress And Success
The school and district planning committees then determine how to implement each strategy and activity by describing in the '**Expected Impact in Terms of Progress and Success'** column the:

- Observable and measurable student performance expected
- Observable and measurable classroom practice expected
- Anticipated products
- Other specific indicators of implementation and impact

School and district planning committees identify in the '**Responsible Person(s)'** column the person or persons responsible for implementing and evaluating the activity or sequence of activities, and put dates in the '**Start Date'** and '**End Date'** columns to set a timeline for activities.

Step 6. Identify Resources
The school and district planning committees determine costs and help to build the budget by recording in the **'Resources Needed'** column the resources needed to implement the activity or sequence of activities and indicating in the **'Fund Source'** column the sources (or origins) of funds needed to implement the activity or sequence of activities. In many cases, this will include recording the names of specific categorical programs. Such program names or titles should be recorded for each sequence of activities supported by categorical funds.

Step 7. Build A Budget
The school action plan initially submitted to the district is a preliminary or draft plan. In the preliminary school plan, sources are identified for funds known to be available for use at the discretion of the school (e.g., Title I school allocations and 65% professional development school allocations, school grants, local contributions to a school, and other fiscal resources known to the school). Where funds are needed but a source isn't known, such as those to be used at the discretion of the district (e.g., Title II, Title IV), the school planning committee enters the word "Unknown" in the Fund Source column of its preliminary plan. The school committee is unlikely to know, at this point, the source of all or part of the funds for the given activity or sequence of activities.

The district planning committee uses the preliminary school action plans as part of the district needs assessment and as appropriate, the district action plan. After receiving information on tentative program allocations for the new year, the district planning committee develops a proposed district budget that addresses both school and district-wide needs. The district planning committee summarizes the fiscal needs for each school, based on the identified needs, and forwards the summary to the finance officer. The district planning committee forwards information to the schools regarding any legal or funding changes needed so that the school planning committees can make final adjustments in the school action plans by:

(1) Adjusting, if necessary, the objectives and strategies or activities it can implement given the available resources
(2) Revising the **'Resources Needed'** column to more precisely reflect available resources
(3) Updating the **'Fund Source'** column to more specifically identify source(s) of funds available from the district or other identified source(s)

By March 1 of each year, schools submit their revised action plans to the district planning committee. The district planning committee uses this information to finalize the district budget. This budget is included as part of the district *Consolidated Plan and Funding Application.*

Step 8. Review Action Plan for Implementation and Impact

To qualify for funding each year, planning committees assure that they have reviewed the implementation of the action plan and assessed the impact the plan is having on student performance and classroom practice. Reviewing the plan for implementation and impact assists planners in determining the need for adjustments to the plan. School and district planning committees use the results of their implementation and impact review as part of the needs assessment required for long range planning and ongoing revision of action plans.

Reviewing the action plan for implementation and impact includes:

- Checking implementation of action component objectives and related strategies and activities
- Evaluating the impact particular strategies and activities have on student performance and classroom practice
- Noting results, observations, reasons for progress and success, or reasons for lack of progress or success
- Reviewing and using any new data
- Identifying factors that limit full implementation, then make the program or resource adjustments needed to ensure full implementation and appropriate impact

Review of the action plan for implementation and impact is required at least annually, and the plan is updated if needed. New goals, objectives, strategies and activities are developed to replace those that have been completed. Other goals, objectives, strategies and activities may need to be revised or deleted based on impact data. The district committee then enters any revisions into the electronic *Consolidated Plan and Funding Application*.

If revisions to the action plan result in significant programmatic changes, or budget revisions are needed to implement the revisions to the plan, then program or budget amendments are electronically transmitted to the Kentucky Department of Education. Department staff provide technical assistance if needed, especially if amendment requests would result in failure to meet legal requirements.

Note: Schools and districts are required to review their plan for implementation and impact on at least an annual basis (see General Assurance #1 on page 39). However, schools and districts are no longer required to use the *Implementation and Impact Check* form to review their action plans, and this form is no longer a submission requirement for the *Consolidated Plan and Funding Application*. The use of the *Implementation and Impact Check* form is optional. A copy of the *Implementation and Impact Check* form is provided at the end of this chapter.

SAMPLE LABELING FORMAT FOR GOALS AND OBJECTIVES

Priority Need *(Based on Needs Assessment)*	**Goal (Addresses the Priority Need)** *(See Step 2 on page 23)*
	A.

Causes and Contributing Factors *(Both Positive and Negative; Based on Needs Assessment)*	**Objectives with Measures of Success** *(See Step 3 on page 23)*
	A1. A2.

SAMPLE LABELING FORMAT (CONTINUED)

Priority Need *(Based on Needs Assessment)*	Goal (Addresses the Priority Need) *(See Step 2 on page 23)*
	B.

Causes and Contributing Factors *(Both Positive and Negative; Based on Needs Assessment)*	Objectives with Measures of Success *(See Step 3 on page 23)*
	B1. B2. B3. B4.

Action Component _____   Draft   Final

District Name _____   Component Manager _____

School Name _____   Date _____

Public   Private, Non-Profit

Priority Need *(Based on Needs Assessment)*	**Goal (Addresses the Priority Need)** *(See Step 2 on page 23)*

Causes and Contributing Factors *(Both Positive and Negative; Based on Needs Assessment)*	**Objectives with Measures of Success** *(See Step 3 on page 23)*

Action Component _____   Draft   Final

District Name _____   Component Manager _____

School Name _____   Date _____

Public   Private, Non-Profit

Strategies/Activities *(Activity or Strategic Sequence of Activities to Achieve Objectives)*

Objective Label	Strategy/Activity	Expected Impact in Terms of Student Performance & Classroom Practice	Responsible Person	Start Date	End Date	Resources Needed	Fund Source

IMPLEMENTATION AND IMPACT CHECK *(Review form for <u>optional</u> use by schools and districts)*

District Name _____   Component Manager _____

School Name _____ (If App.) Date _____

Public   Private, Non-Profit

Objective Label	Activity/ Strategy	* I PI NI	Has This Activity Had Impact? (YES) (NO)		Evidence of Actual Impact in Terms of Student Performance & Classroom Practice *(Include strategic measures, not necessarily for each Activity/Strategy)*	Reasons for Impact OR Reasons Expected Impact Did Not Occur *(Outcomes/Observations/New Data)*

*I=Implemented; PI=Partially Implemented; NI=Not Implemented

Adjustments to Ensure Implementation and Appropriate Impact *(Follow amendment procedure for major adjustments)*